

09/02/99

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. UNME-6

First Inventor or Application Identifier MULLINS, Joe H.

Title LOW FREQUENCY FEEDBACK CONTROLLED AUDIO SYSTEM

Express Mail Label No.

 09/02/99
 3672 U.S. PTO
 09/389085

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

 ADDRESS TO: Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
 (Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages **34**]
 (preferred arrangement set forth below)
- Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **7**]
4. ☒ Oath or Declaration [Total Page **1**]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
 (for continuation/divisional with Box 17 completed)
 [Note Box 5 below]
- i. ☐ DELETION OF INVENTOR(S)
 Signed statement attached deleting
 inventor(s) named in the prior application,
 see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)
 The entire disclosure of the prior application, from which a
 copy of the oath or declaration is supplied under Box 4b, is
 considered to be part of the disclosure of the accompanying
 application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission
 (if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 C.F.R. § 3.73(b) Statement
 (when there is an assignee) ☒ Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
 (Should be specifically itemized)
- * Small Entity ☐ Statement filed in prior application,
 Status still proper and desired
14. ☒ Statement(s) (PTO/SB/09-12)
15. ☐ Certified Copy of Priority Document(s)
 (if foreign priority is claimed)
16. ☒ Other: Associate POA, EDC Sheet and Notice of Priority

* NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY
 FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT
 IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

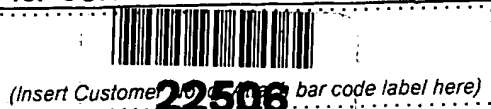
of prior application No. _____

Prior application information: Examiner _____

Group / Art Unit: _____

18. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label



or Correspondence address below

Name Jagtiani & Associates

PATENT TRADEMARK OFFICE

Address 10379-B Democracy Lane

City Fairfax

State Virginia

Zip Code 22030

Country United States of America

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Fax (703) 591-5907

Name (Print/Type) Jay A. Jagtiani

Registration No. (Attorney/Agent) 35,205

Signature

Date September 2, 1999

FEE TRANSMITTAL FORM

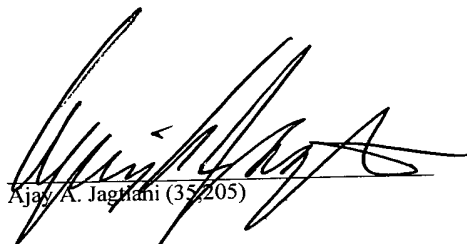
CLAIMS	FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
	TOTAL CLAIMS	20-20=	0	x\$18 =	\$0.00
	INDEPENDENT CLAIMS	2-3=	0	x\$78 =	\$0.00
	MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+\$260 =	\$0.00
	BASIC FEE				\$760.00
	TOTAL OF ABOVE				\$760.00
	REDUCTION BY 50% FOR FILING BY SMALL ENTITY (note 37 C.F.R. §§ 1.9, 1.27, 1.28).				-\$380.00
	TOTAL=				\$380.00

1. ☒ A verified statement to establish small entity status under 37 CFR 1.9 and 1.27
 - ☒ is enclosed
 - ☐ was filed in prior application number xx/xxx,xxx and such status is still proper and desired (37 CFR 1.28(a)).
2. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required under 37 CFR 1.16 and 1.17, or credit any overpayment to Deposit Account No. 10-0233-UNME-0019-1.
3. ☒ A check in the amount of \$380.00 for the filing fee is enclosed.
 - ☐ A check in the amount of \$_____ for the assignment is enclosed.
4. ☐ Cancel in this application original claims _____ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

Address all future communications: (May only be completed by applicant or attorney/agent of record.)

JAGTIANI & ASSOCIATES
 Democracy Square Business Center
 10379-B Democracy Lane
 Fairfax, Virginia 22030

September 2, 1999


 Ajay A. Jagtiani (35/205)

- ☒ Attorney or Agent of Record
- ☐ Inventor(s)
- ☐ Assignee of Complete Interest
- ☐ Filed under § 1.34(a)

Applicant or Patentee: MULLINS, Joe H.		Bucket #: UNME-0019-1
Serial or Patent Number: To be assigned	Examiner:	
Filed or Issued: Cocurrently herewith	Art Unit:	
For: LOW FREQUENCY FEEDBACK CONTROLLED AUDIO SYSTEM		

**VERIFIED STATEMENT (DECLARATION) BY A UNIVERSITY
CLAIMING SMALL ENTITY STATUS UNDER 37 C.F.R. §§ 1.9(F) AND 1.27(C)**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the University empowered to act on behalf of the concern identified below:

Name of Concern: **University of New Mexico**

Address: **Hokona Hall, Room 357, Albuquerque, New Mexico, 87131**

I hereby declare that the above identified University qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, **does not exceed 500 persons**. For purposes of this statement, (1) the number of employees is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the University identified above with regard to the matter described in:

- ☐ The specification filed herewith, with the title as listed above.
☒ The patent application identified above.
☐ The PCT International patent application identified above.
☐ The patent number identified above.


If the rights held by the above identified University are not exclusive, each individual, concern or organization having rights to the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern who would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). Each person or organization having any rights in the invention is listed below:

- ☒ No such person, concern or organization.
☐ Each such person, concern or organization as listed below:

FULL NAME	<input type="checkbox"/> Individual <input type="checkbox"/> Small Business Concern <input type="checkbox"/> Nonprofit Organization
ADDRESS	

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine, or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which the verified statement is directed.

NAME AND TITLE	DATE
Annabelle D. Quintana, Associate University Counsel	
ADDRESS	SIGNATURE
University of New Mexico Patent Administration Office Hokona Hall, Room 357 Albuquerque, New Mexico 87131	

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

MULLINS, Joe H.

Serial No.: To be assigned

Filed: Concurrently Herewith

For: LOW FREQUENCY FEEDBACK CONTROLLED)
AUDIO SYSTEM)

Examiner: To Be Assigned

Art Unit: To Be Assigned

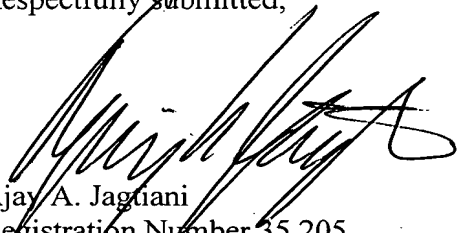
Assistant Commissioner for Patents
Washington, D.C. 20231

REQUEST FOR PRIORITY
UNDER 35 U.S.C. § 119(e)(1)

Sir:

In the matter of the above-captioned application for a United States patent, notice is hereby given that the Applicant claims the priority date of September 3, 1998, the filing date of the corresponding Provisional Patent Application No. 60/098,998 under 35 U.S.C. § 119(e)(1).

Respectfully submitted,


Ajay A. Jagtiani
Registration Number 35,205

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August 24, 1999